



SECRETARY OF STATE STATE OF INDIANA

Seeking qualified candidates for appointment as Securities Commissioner

CONNIE LAWSON
SECRETARY OF STATE

About the position:

The Secretary of State of Indiana appoints a Securities Commissioner pursuant to Ind. Code 23-19-6-1 to primarily direct and administer the Indiana Uniform Securities Act (Ind. Code 23-19 et seq).

Essential responsibilities

The Securities Commissioner oversees all operations of Securities Division, enforces all laws and administrative rules enacted to regulate securities, mortgage loan brokers, franchises, collection agencies and continuing care retirement communities and prevents fraud in these areas and supervises assigned staff. Establishes goals and objectives; develops and implements policies and procedures.

The Securities Commissioner serves as a liaison with the Securities Exchange Commission, other state governments, securities regulatory organizations, mortgage regulatory organizations, state agencies, legislature, licensees, the securities and financial services bar, general public; presents recommendations and suggestions to legislature on need for new or revised laws and regulations pertaining to areas of authority.

Required qualifications

The office is seeking an attorney licensed to practice law in Indiana with at least five years of experience with criminal prosecution, regulatory prosecution, the securities or financial services bar, or other commensurate practice. Candidate must have management experience with a track record of increasing responsibility. Candidate must demonstrate an ability to define problems, collect data, establish facts and draw valid conclusions; handle sensitive inquiries and develop good rapport with government and business officials and constituents.

Preferred qualifications

Preferred candidates will hold a masters degree in business or public administration. Candidates will have a working knowledge of Title 710 of the Indiana Administrative Code, Indiana Code 23-2 and 23-19, other applicable state and federal laws, and SEC rules and regulations governing securities, mortgage loan brokers, franchises, collection agencies and continuing care retirement communities. Preferred candidates will have substantial experience with public relations, supervisory principles/techniques, employee training and development. Preferred candidates have substantial experience working with state and federal prosecutors and with the Office of the Attorney General.

A curriculum vita along with three professional references should be electronically submitted to Marisa Smith at masmith@sos.in.gov no later than October 11, 2013.